

10/09/01

J1054 U.S. PTO

PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box ☐

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

JAA 208

First Inventor

ANDREAS PEIN

Title

WATER-JET DEVICE SEPARATING  
A BIOLOGICAL STRUCTURE

Express Mail Label No.

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification (Total Pages **23**)  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **3**]
5. ☐ Oath or Declaration [Total Pages **1**]
- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label☐ Correspondence address below

Name

27845

PATENT TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Horst M. Kasper

Registration No. (Attorney/Agent)

28,559

Signature



Date

10-08-2001

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10-10-01 A

10/09/01 1062 U.S. PTO

1017 U.S. PTO 09/973275 10/09/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Andrea Pein

Serial No:

Title: WATER-JET DEVICE FOR SEPARATING A BIOLOGICAL STRUCTURE

Examiner:

Filing Date:

Art Unit:

October 8, 2001 Attorney's Docket No.: JAA208

TRANSMITTAL LETTER

Hon. Commissioner of Patents and Trademarks  
BOX Patent Application  
Washington, D.C. 20231

SIR:

Transmitted herewith for filing is:

<X> Utility Patent Application Transmittal (Form PTO/SB/05)

<X> Fee Transmittal for FY 2002 (Form PTO/SB/17)

<X> Specification (23 pages)

<X> 3 Sheets of Drawings

<X> Translation International PCT Application, No. PCT/EP00/02994 (17 pages + 2 drawing sheets)

<X> Translation of Annexes to IPER, PCT Application No. PCT/EP00/02994 (3 pages)

Basic fee: \$740.00

TOTAL CLAIMS: 12 - 20 = X \$ 18.00 = \$

INDEPENDENT CLAIMS: 2 - 3 = X \$ 84.00 = \$

<X> Applicant claims small entity status. The fees indicated above are reduced by 1/2

<X> Request to Grant Filing Date under 37 C.F.R. 1.53 (4 pages)

<X> Form PTO-1449

<X> Copy of the International Search Report

<X> Fees in the amount of \$370.00 are to be charged to a credit card. Form PTO-2038 is enclosed

(X) The applicant hereby petitions the Commissioner of Patents and Trademarks to extend the time for response to any Office Action outstanding in the above captioned matter as necessary to avoid abandonment of the application. Please charge my deposit account No.11-0224 in the amount required to cover the cost of the extension. Any deficiency or overpayment should be charged or credited to the above account.

(X) The Commissioner is hereby authorized to charge any fees under 35 U.S.C. 1.16, and 1.17, after a mailing of a Notice of Allowance under 35 USC 1.18 or any additional fees which may be required during the entire pendency of the application, or credit any overpayment, to Acct. No.11-0224. A duplicate copy of this sheet is enclosed. If and only if account funds should be insufficient, immediately contact our associate, Lisa Zumwalt, at (703)415-0579, who will pay immediately to avoid deprivation of rights.

Page 1 of 2

( ) Please charge my Deposit Account No.11-0224 in the amount of \$ \_\_\_\_\_. A duplicate copy of this sheet is enclosed.

A signature or signatures required for the above recited document(s) is (are) provided herebelow. Such signature(s) also provide(s) ratification for any required signature appearing to be defective in the above recited document(s).



Horst M. Kasper, 13 Forest Drive, Warren, N.J.07059  
Reg. No. 28,559 Tel.(908)526-1717

**Express Mail Certification:**

I hereby certify that the correspondence attached hereto is being deposited with the USPS "Express Mail Post Office to Addressee" on the date indicated below and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231,

Deposit Date: 9<sup>th</sup> Oct 2001 "Express Mail Mailing Label No": TB 173 618 236 US

Signature:  Dorothy R. Kasper Date: 9<sup>th</sup> Oct 2001

\*%Pci1:d:trans1(JAA208T1(October 8, 2001(tm

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**370.00**

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	ANDREAS PEIN
Examiner Name	
Group Art Unit	
Attorney Docket No.	JAA 208

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

11-0224

Deposit  
Account  
Name

Horst M. Kasper

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description
------------------	------------------	------------------	------------------	-----------------

101	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee

Fee Paid

370

SUBTOTAL (1) (\$)**370**

### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
12	-20** =	X	
Independent Claims	2	-3** =	X
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Description
------------------	------------------	------------------	------------------	-----------------

103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)

Horst M. Kasper

Registration No.  
(Attorney/Agent)

28,559

Complete (if applicable)

Telephone

(908)526-1717

Signature

*Horst M. Kasper*

Date

10-08-2001

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s): Andrea Pein

Serial No:

Filing Date:

Title: WATER-JET DEVICE FOR SEPARATING A BIOLOGICAL  
STRUCTURE

Examiner:

Art Unit:

October 8, 2001

Attorney's Docket No.: JAA208

***REQUEST TO GRANT FILING DATE  
UNDER 37 CFR 1.53***

Hon. Commissioner of Patents and Trademarks  
Box PATENT APPLICATION  
Washington, D.C. 20231

SIR

The inventor, Andreas Pein, has made an invention entitled:  
"WATER-JET DEVICE FOR SEPARATING A BIOLOGICAL  
STRUCTURE".

The undersigned did not receive timely a properly executed  
declaration by said inventor to be filed with this application. The  
undersigned respectfully requests that the enclosed application for patent be

accepted and that a filing date be granted. It is further petitioned that any extensions of time be granted as they may become necessary, in particular in connection with the timely filing of required declarations, and the United States Patent and Trademark Office is authorized to charge any fees required to deposit account 11-0224.

Applicant is enclosing a stamped self-addressed postcard with a summary relating to this filing. It is respectfully requested that this postcard receive the date-stamp and Serial Number stamp of the United States Patent and Trademark Office and then be promptly deposited with the United States Postal Service. If such card should not be found in the application papers submitted, then Applicant herewith inquires about the status of this application and requests that corresponding status information be mailed to the undersigned.


The application includes a specification with pages consecutively numbered and at least one claim.

For purposes of paying the required fee a check is enclosed. Any fees required in addition are requested to be charged to Deposit account # 11-0224. It is petitioned that any time extension which might be required in connection with the filing of this application or in connection with any papers submitted at a later point in time relating to this application be granted.

Respectfully submitted,

Andreas Pein

By:



\_\_\_\_\_  
Horst M. Kasper, his attorney,  
13 Forest Drive, Warren, N.J. 07059  
Tel. (908)526-1717; Reg.No. 28,559  
Attorney's Docket No.: JAA208

STATUS INQUIRY:

The above captioned application is

< > incomplete

< > complete

< > pending

Serial No:..... Filing Date:.....

\*%pt1:patinc(JAA208R1(October 8, 2001(tm